



Receipt

PATENT  
Customer Number 22,852  
Attorney Docket No. 01413.0014-00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Vernon L. Crow et al. ) Group Art Unit: 2671  
)  
Serial No.: 09/675,515 ) Examiner: Unassigned  
)  
Filed: September 29, 2000 )  
)  
For: SYSTEMS AND METHODS FOR )  
IMPROVING CONCEPT )  
LANDSCAPE VISUALIZATIONS AS )  
A DATA ANALYSIS TOOL )

Assistant Commissioner for Patents  
Washington, DC 20231

**STATUS INQUIRY**

According to our records, the above-identified application was filed on September 29, 2000. To date, the only correspondence we have received from the Patent Office are the Filing Receipt, Notice to File Missing Parts of Nonprovisional Application, Updated Filing Receipt, and a Notice of Recordation of Assignment Document. Copies of these documents are enclosed.

In view of these circumstances, the undersigned attorney respectfully requests that the Office advise him of the status of this application as soon as possible in order to determine whether further action by the Applicants is required at this time.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: 2-12-02

By: *Thomas W. Winland* Reg # 24,014  
for Thomas W. Winland  
Reg. No. 27,605



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

TWW/ECC

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/675,515	09/29/2000	2671	1326	01413.0014	11	38	7

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L. L. P.  
3200 SUNTRUST PLAZA  
303 PEACHTREE STREET, N. E.  
ATLANTA, GA 30308

# FILING RECEIPT



\*OC000000005622029\*

Date Mailed: 12/15/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Vernon L. Crow, Residence Not Provided;  
Randall E. Scarberry, Residence Not Provided;  
Augustin J. Calapristi, Residence Not Provided;  
Nancy E. Miller, Residence Not Provided;  
Jeffrey D. Saffer, Residence Not Provided;

RECEIVED

DEC 20 2000

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L. L. P.  
ATLANTA, GA 30308

## Continuing Data as Claimed by Applicant

## Foreign Applications

If Required, Foreign Filing License Granted 11/13/2000

## Title

Systems and methods for improving concept landscape visualizations as a data analysis tool

## Preliminary Class

345

Data entry by : LE, HANH

Team : OIPE

Date: 12/15/2000



12/10/01  
w

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

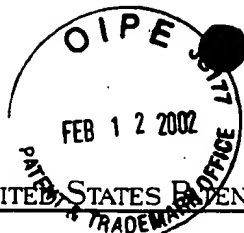
**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

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Customer Service Center  
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 1413.14  
 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/675,515	09/29/2000	2671	1456	01413.0014	11	38	7

CONFIRMATION NO. 1587

UPDATED FILING RECEIPT



\*OC00000005985267\*

 FINNEGAN, HENDERSON, FARABOW  
 GARRETT & DUNNER, L. L. P.  
 3100 I Street, N.W.  
 Washington, DC 20005-3315

Date Mailed: 04/19/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**
 Vernon L. Crow, Richland, WA;  
 Randall E. Scarberry, Richland, WA;  
 Augustin J. Calapristi, Richland, WA;  
 Nancy E. Miller, San Diego, CA;  
 Jeffrey D. Saffer, Richland, WA;
**Domestic Priority data as claimed by applicant****Foreign Applications**

If Required, Foreign Filing License Granted 11/13/2000

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

**Title**

Systems and methods for improving concept landscape visualizations as a data analysis tool

 10/11  
 4/3/01

**Preliminary Class**

345

---

**Data entry by :** TSIGE, WUBALEM

**Team :** OIPE

**Date:** 04/19/2001

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

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Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231





## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/675,515	09/29/2000	Vernon L. Crow	01413.0014

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L. L. P.  
3200 SUNTRUST PLAZA  
303 PEACHTREE STREET, N. E.  
ATLANTA, GA 30308

## FORMALITIES LETTER



\*OC000000005622030\*

Date Mailed: 12/15/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

*V. L. Crow*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

Docketed 1/2/01 Attorney TWW/ECC  
Case 1413.14  
Due Date 2/15/01 w/ ext  
Action Decl / Selg due  
By K



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

MAY 08, 2001

PTAS

FINNEGAN, HENDERSON, FARABOW, & ETAL  
THOMAS W. WINLAND, ESQ  
1300 I STREET, NW  
WASHINGTON, D.C. 20005-3315



\*101625509A\*

01413-0014  
TWN/ECC

MAY 10 2001

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/27/2001

REEL/FRAME: 011544/0025

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CROW, VERNON L.

DOC DATE: 02/12/2001

ASSIGNOR:

SCARBERRY, RANDALL E.

DOC DATE: 02/12/2001

ASSIGNOR:

CALAPRISTI, AUGUSTIN J.

DOC DATE: 02/12/2001

ASSIGNOR:

MILLER, NANCY E.

DOC DATE: 02/20/2001

ASSIGNOR:

SAFFER, JEFFREY D.

DOC DATE: 02/09/2001

ASSIGNEE:

BATTELLE MEMORIAL INSTITUTE  
505 KING AVENUE  
COLUMBUS, OHIO 43201

DIKTD JRJ  
5-11-01

1046  
shub.

011544/0025 PAGE 2

SERIAL NUMBER: 09675515  
PATENT NUMBER:

FILING DATE: 09/29/2000  
ISSUE DATE:

SAUNDRA BALLENGER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03-05-2001


 INFORMATION FORM COVER SHEET  
 PATENTS ONLY

 U.S. Department of Commerce  
 Patent and Trademark Office  
 Attorney Docket No. 01413.0014  
 Attorney Customer Number: 22,852

2.27.01

101625509

Patents and Trademarks

ATTN. BOX ASSIGNMENTS

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
 Vernon L. Crow; Randall E. Scarberry; August J. Calapristi; Nancy E. Miller; Jeffrey D. Saffer

Name and address of receiving party(ies):  
 Name: Battelle Memorial Institute

 Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

Internal Address:

3. Nature of conveyance:

Street Address: 505 King Avenue

☒ Assignment ☐ Merger

City: Columbus

☐ Security Agreement ☐ Change of Name

State: OH Zip Code: 43201

☐ Other: [Describe]

Additional name(s) &amp; Address(es) attached?

 Execution Date: Febrauary 12, 2001; February 12, 2001;  
 February 12, 2001; February 20, 2001;  
 February 9, 2001
☐ Yes☐ No

4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application: [Type appropriate information]

A. Patent Application Number(s):

B. Patent Number(s):

09/675,515

[Text]

Additional numbers attached?

☐ Yes☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

 6. Total number of applications and registrations involved:  
 1

Name: Thomas W. Winland, Esq.

7. Total fee (37 CFR 3.41): \$40

☒ Enclosed (Please charge deficiency to deposit account)

☐ Authorized to be charged to deposit account

Internal Address: FINNEGAN, HENDERSON, FARABOW, GARRETT &amp; DUNNER, L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington, D.C.

State: Zip: 20005-3315

8. Deposit Account No.: 06-0916

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

E. Chris Cherry

February 26, 2001

Signature

Date

Total number of pages including cover sheet, attachments and documents: 3

03/01/2001 TGEDAMU1 00000052 09675515

03 FC:581

40.00 OP

## ASSIGNMENT

WHEREAS We, the below named inventors, [hereinafter referred to as Assignors], have made an invention entitled:

### SYSTEMS AND METHODS FOR IMPROVING CONCEPT LANDSCAPE VISUALIZATIONS AS A DATA ANALYSIS TOOL

for which We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on September 29, 2000 (Serial No. 09/675,515); and

WHEREAS, Battelle Memorial Institute, a corporation of Ohio whose post office address is 505 King Avenue, Columbus, Ohio 43201 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

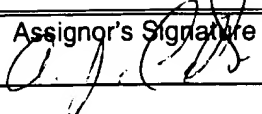
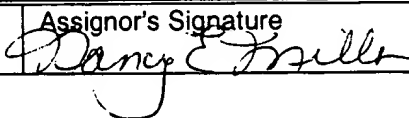
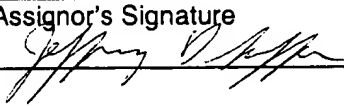
NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention, provisional application Serial No. \_\_\_\_\_, filed \_\_\_\_\_ (if any), and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that We have the full right to convey the interest assigned by this Assignment, and We have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that We will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

IN TESTIMONY WHEREOF, We have hereunto set our hands.

Full Name of First Assignor Vernon L. Crow	Assignor's Signature <i>Vernon L. Crow</i>	Date 2/12/01
Residence 2127 Newhaven Lp., Richland, WA 99352		
Full Name of Second Assignor Randall E. Scarberry	Assignor's Signature <i>Randall E. Scarberry</i>	Date 2/12/01
Post Office Address 2224 Benton Avenue, Richland, WA 99352		

Full Name of Third Assignor Augustin J. Calapristi	Assignor's Signature 	Date 2/12/01
Post Office Address 3104 Mt. Granite Ct W., Richland, WA 99353		
Full Name of Fourth Assignor Nancy E. Miller	Assignor's Signature 	Date 2/20/01
Post Office Address 4919 Brookburn Drive, San Diego, CA 92130		
Full Name of <del>Third</del> Assignor Jeffrey D. Saffer	Assignor's Signature 	Date 2/9/01
Post Office Address 202 Hartwood Street, Richland, WA 99352		